



#10
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Dkt. 71912/RDK

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Aiqun HU, et al.
Patent No. : 6,704,344 *B1*
Issue Date : March 9, 2004 Examiner: Steven CHIN – Art Unit 2634
For : BROAD BAND MPSK SPREAD SPECTRUM COMMUNICATIONS
RECEIVER WITH CARRIER RECOVERY AND TRACKING USING
CORRELATION TECHNIQUES

COOPER & DUNHAM LLP
1185 Avenue of the Americas
New York, New York 10036
July 21, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Certificate
JUL 30 2004
of Correction

ATTN: CERTIFICATE OF CORRECTION BRANCH

SIR:

REQUEST FOR A CERTIFICATE OF CORRECTION

Please find one (1) original and one (1) copy of the original Patent Office Form PTO/SB/44, attached hereto as Exhibit 1, indicating errors in the above-identified patent.

The corrected errors on form PTO/SB/44 are as follows:

On the cover page of the patent, the assignee should be listed as: --The University of Hong Kong--.

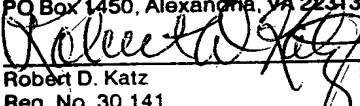
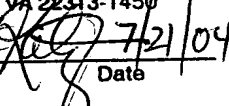
There is no fee for a Certificate of Correction based upon error by the USPTO. Applicants filed a communication on February 9, 2004 (copy enclosed as Exhibit 2), one month prior to issuance of the patent, asking the Office to include the assignee. This, however, was not done.

AUG 02 2004

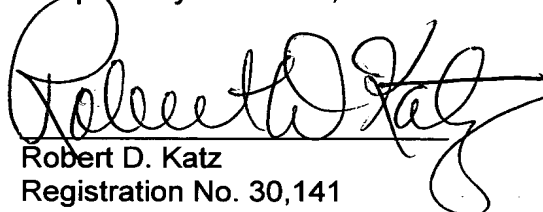
Patentees : HU et al.
Patent No. : 6,704,344
Issue Date : March 9, 2004
Page 2

In the event there is any fee for filing, the Commissioner is hereby authorized to charge any deficiency or credit any excess in fees for processing this Request to Deposit Account No. 03-3125.

Dated: July 21, 2004

| | |
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| I hereby certify that this paper is being deposited this date with the U.S. Postal Service as first class mail addressed to: Commissioner for Patents PO Box 1450, Alexandria, VA 22313-1450 | |
|  Robert D. Katz Reg. No. 30,141 |  Date 7/21/04 |

Respectfully submitted,



Robert D. Katz
Registration No. 30,141
COOPER & DUNHAM LLP
1185 Avenue of the Americas
New York, NY 10036
Tel.: (212) 278-0400

Attorney for Applicants

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO. : 6,704,344 *B1*
DATED : March 9, 2004
INVENTOR(S) : Aiqun HU, T.S. NG, and Jeff D.H. GUO

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Under Section 73, insert -- The University of Hong Kong, HONG KONG, CHINA --.

MAILING ADDRESS OF SENDER:

Robert D. Katz, Esq. - COOPER & DUNHAM LLP
1185 Avenue of the Americas
New York, NY 10036

PATENT NO. 6,704,344 *B1*

No. of additional copies

⇒ 1

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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AUG 02 2004

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**PATENT NO. : 6,704,344 *bi*

DATED : March 9, 2004

INVENTOR(S) : Aiqun HU, T.S. NG, and Jeff D.H. GUO

It is certified that error appears in the above-identified patent and that said Letters Patent
is hereby corrected as shown below:

Under Section 73, insert -- The University of Hong Kong, HONG KONG,
CHINA --.

*(1)***MAILING ADDRESS OF SENDER:**

Robert D. Katz, Esq. - COOPER & DUNHAM LLP
1185 Avenue of the Americas
New York, NY 10036

PATENT NO. 6,704,344 *bi*

No. of additional copies

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UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO. : 6,704,344 B1
DATED : March 9, 2004
INVENTOR(S) : Aiqun Hu, T.S. Ng and Jeff D.H. Guo

Page 1 of 1

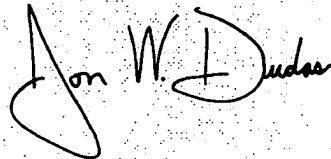
It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Title page.

Item [73], Assignee, insert -- **The University of Hong Kong, Hong Kong, China** --.

Signed and Sealed this

Thirty-first Day of August, 2004

A handwritten signature in black ink, appearing to read "Jon W. Dudas", is written over a faint, dotted rectangular background.

JON W. DUDAS

Director of the United States Patent and Trademark Office

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Dkt. 71812/RDK

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Alqun HU et al.
For : BROAD BAND MP6K SPREAD SPECTRUM
COMMUNICATIONS RECEIVER WITH CARRIER RECOVERY
AND TRACKING USING CORRELATION TECHNIQUES
U.S. Serial No. : 09/383,662
Filing Date : August 26, 1999
Examiner : Edith M. Chang
Art Unit : 2834

VIA FACSIMILE - (703) 749-4000

Mail Stop Issue Fee
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

COMMUNICATION

SIR:

Applicants wish to call to the attention of the Issue branch two items of information omitted from the transmittal form. First, the prior attorney omitted the name of the assignee of record:

University of Hong Kong - Hong Kong, CHINA.

Also please enter the name of the undersigned attorney as the attorney of record: Robert D. Katz, Cooper & Dunham LLP, 1185 Avenue of the Americas, New York, NY 10036. Applicants hereby submit a Revocation of Power of Attorney and a

Confirmation Report - Memory Send

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Dkt. 71912/RDK

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Aiqun HU et al.
For : BROAD BAND MPSK SPREAD SPECTRUM
COMMUNICATIONS RECEIVER WITH CARRIER RECOVERY
AND TRACKING USING CORRELATION TECHNIQUES
U.S. Serial No. : 09/383,662
Filing Date : August 26, 1999
Examiner : Edith M. Chang
Art Unit : 2634

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P.O. Box 1450
Alexandria, VA 22313-1450

COMMUNICATION

SIR:

Applicants wish to call to the attention of the Issue branch two items of information omitted from the transmittal form. First, the prior attorney omitted the name of the assignee of record:

University of Hong Kong - Hong Kong, CHINA.

Also please enter the name of the undersigned attorney as the attorney of record: Robert D. Katz, Cooper & Dunham LLP, 1185 Avenue of the Americas, New York, NY 10036. Applicants hereby submit a Revocation of Power of Attorney and a

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Applicants : Aiqun HU et al.
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P.O. Box 1450
Alexandria, VA 22313-1450

COMMUNICATION

S I R:

Applicants wish to call to the attention of the issue branch two items of information omitted from the transmittal form. First, the prior attorney omitted the name of the assignee of record:

University of Hong Kong – Hong Kong, CHINA.

Also please enter the name of the undersigned attorney as the attorney of record: Robert D. Katz, Cooper & Dunham LLP, 1185 Avenue of the Americas, New York, NY 10036. Applicants hereby submit a Revocation of Power of Attorney and a

Applicants: Aiqun HU et al.
Serial No.: 09/383,662
Page 2

newly executed Power of Attorney in connection with the above-identified patent application.

The Commissioner is hereby authorized to charge any fees which may be required in consideration of this filing and to credit any overpayment to our Deposit Account No. 03-3125.

Respectfully submitted,

Dated: February 9, 2004

I hereby certify that this correspondence is being sent via facsimile this date and is addressed to:

Commissioner for Patents,
P.O. Box 1450,
Alexandria, VA 22313-1450.

Robert D. Katz
Reg. No. 30, 141

Date

By:

Robert D. Katz
Reg. No. 30,141
c/o Cooper & Dunham LLP
1185 Avenue of the Americas
New York, New York 10036
(212) 278-0400

Attorney for Applicants

Enclosures (3 sheets)

Complete and send this form, together with applicable fee(s), to: **Mail Stop ISSUE FEE**
Commissioner for Patents
Alexandria, Virginia 22313-1450
or **Fax (703) 746-4000**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as stated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)
7590 09/30/2003

PENNIE & EDMONDS LLP
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

COOPER & DUNHAM LLP - Robert D. Katz, Esq.
1185 Avenue of the Americas
New York, NY 10036

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO, on the date indicated below.

| |
|---|
| Robert D. Katz Reg. #30,141 (Depositor's name) |
| <i>Robert D. Katz</i> (Signature) |
| Feb 9, 2004 (Date) |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/383,662 | 08/26/1999 | AIQUN HU | 9661-0005-99 | 6865 |

TITLE OF INVENTION: BROAD-BRAND MPSK SPREAD SPECTRUM COMMUNICATIONS RECEIVER WITH CARRIER RECOVERY AND TRACKING USING CORRELATION TECHNIQUES

| APPLN. TYPE | SMALL ENTITY | ISSUE FEE | PUBLICATION FEE | TOTAL FEE(S) DUE | DATE DUE |
|----------------|--------------|-----------|-----------------|------------------|------------|
| nonprovisional | YES | | \$0 | | 12/30/2003 |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|----------------|----------|----------------|
| CHANG, EDITH M | 2634 | 375-130000 |

Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☒ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

- Robert D. Katz;**
- Cooper & Dunham LLP**
-

ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE: **The University of Hong Kong**
(B) RESIDENCE: (CITY and STATE OR COUNTRY): **Hong Kong, China**

Please check the appropriate assignee category or categories (will not be printed on the patent); ☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

- ☐ Issue Fee
- ☐ Publication Fee
- ☐ Advance Order - # of Copies **10**

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(Authorized Signature) *Edith Chang* (Date) **2-9-04**

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NEW POWER OF ATTORNEY
AND
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| | |
|------------------------|-----------------|
| Application Number | 09/383,662 |
| Filing Date | August 26, 1999 |
| First Named Inventor | Aiqun HU |
| Art Unit | 2634 |
| Examiner Name | Edith M. YEH |
| Attorney Docket Number | 2587/71912 |

I hereby revoke all previous powers of attorney given in the above-identified application.

☒ A Power of Attorney is submitted herewith.

OR

☐ I hereby appoint the practitioners associated with the Customer Number:

☒ Please change the correspondence address for the above-identified application to:

☐ The address associated with
Customer Number:

OR

☒ Firm or
Individual Name Robert D. Katz, Esq.
COOPER & DUNHAM LLP

Address 1185 Avenue of the Americas

Address 23rd Floor

City New York State NY Zip 10036

Country USA

Telephone (212) 278-0400 Fax (212) 391-0525

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name

Signature

Date

Telephone

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ *Total of 2 forms are submitted.

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| | |
|-------------------------------|--------------------------------|
| Application Number | 09/383,662 |
| Filing Date | August 26, 1999 |
| First Named Inventor | Aiqun HU |
| Title | Broad Band MPSK Spread Spectru |
| Art Unit | 2634 |
| Examiner Name | Edith M. YEH |
| Attorney Docket Number | 2587/71912 |

I hereby appoint:

☐ Practitioners associated with the Customer Number:

OR

☒ Practitioner(s) named below:

| Name | Registration Number |
|------------------|---------------------|
| Robert D. Katz | 30,141 |
| Paul Teng | 40,837 |
| Ivan S. Kavrukov | 25,161 |
| Norman H. Zivin | 25,385 |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

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| | | | | | | |
|-------------------------------------|-------------------------|-----------------------------|-------|----------------|-----|--|
| <input checked="" type="checkbox"/> | Firm or Individual Name | Robert D. Katz, Esq. | | | | |
| Address | | COOPER & DUNHAM LLP | | | | |
| Address | | 1185 Avenue of the Americas | | | | |
| City | | New York | State | NY | Zip | |
| Country | | USA | | | | |
| Telephone | | (212) 278-0400 | Fax | (212) 391-0525 | | |

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

| | | | | | |
|------------------|-----------------------------|--|------------------|-----------------|--|
| Name | The University of Hong Kong | | | | |
| Signature | <i>[Signature]</i> | | | | |
| Date | 5 February 2004 | | Telephone | (852) 2299 0104 | |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ *Total of 2 forms are submitted.

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